

STATE OF INDIANA
OFFICE OF THE SECRETARY OF STATE
SECURITIES DIVISION

IN THE MATTER OF:

Approved Broker-Dealer and
Agent Examinations

Order

Order No. 95-0004 AO

FILED

JAN 20 1995

Comes now BRADLEY W. SKOLNIK, Indiana Securities Commissioner, pursuant to IC 23-2-1-11(b)(4) and 710 IAC 1-14-2, and 710 IAC 1-15-2, and hereby APPROVES AND ORDERS the following examinations for compliance with 710 IAC 1-14-2 and 710 IAC 1-15-2:

I. BROKER-DEALER PRINCIPALS AND BRANCH MANAGERS:

A. The applicable NASD Qualification Examinations required by Schedule C to the NASD By-Laws as published by the NASD.

II. AGENTS:

A. The applicable NASD Qualification Examinations required by Schedule C to the NASD By-Laws as published by the NASD.

B. NASD Series 63 (Uniform State Law Exam).

IT IS FURTHER ORDERED that Order No. 87-0005 AO is hereby VACATED, effective January 20th, 1995.

ORDERED this 20th day of January, 1995.

SUE ANNE GILROY
SECRETARY OF STATE



BRADLEY W. SKOLNIK
INDIANA SECURITIES COMMISSIONER

